Walter Musial and Dr. Robert Thresher – liaison to DOE Waterpower Program, V&V

Dr. Desikan Bharathan – OTEEV resource evaluation methods and algorithms independent reviewer

George Scott – OTEEV independent V&V PI Marc Schwartz – OTEEV independent V&V deputy PI

Donna Heimiller - OTEEV GIS integration PI

2.4 Information Dissemination

Universities, by their very nature, develop and gather information through research and disseminate that information broadly to enhance the body of knowledge. For example, FAU's COET mission is to disseminate information as widely as possible using open communication forums to disseminate knowledge, data, and know-how through a widedisparity of forums, to include conferences, websites, workshops, and public forums, plus publication of papers, journal articles, and technical documents. This effort aligns with NREL's mission which is to develop renewable energy and energy efficiency technologies and practices, advance related science and engineering, and transfer knowledge and innovations to address the nation's energy and environmental goals. To further that mission, results of this project will be widely disseminated and made publically available. Distribution of the results of these studies promotes Lockheed Martin's credibility within the renewable energy community.

As progress is made, publications and presentations summarizing the results of the OTEEV effort will be submitted to the following conferences, of which all team members are regular contributors: Energyoceans, IEEE Oceans, the Offshore Technology Conferences, the Global Marine Renewable Energy Conference, and the Offshore Technology Conference. The conferences have a wide reach and will serve, in part, to disseminate the data and inform the industry of the GIS capabilities and accessibility. As part of the effort, an information pamphlet will also be assembled that provides an overview of the project, summaries the results, and details the OTEEV tool. The pamphlet will be disseminated at the conferences attended, be available for download from the team members web sites, as well as, made available upon request.

NREL's public GIS (http://www.nrel.gov/gis) will be the primary repository for the ocean thermal energy estimates produced by this project. The resource estimates and associated data will become part of NREL's US Atlas of Renewable Resources. Figure 5 shows a screenshot of the US Atlas as it appears when displaying 25-km wind data. OTEC data will appear as another layer in the GIS system, allowing users to easily zoom in and query the database. This internet accessible GIS system is the means to widely and interactively disseminate data and information that is collected. Any person with access to the internet will be able to gain access to the OTEEV tool and perform queries and acquire data specific to their need.

When NREL's planned data center is constructed, the atlas will be moved to the new facility, allowing quicker response time, improved data transfers and the inclusion of larger ancillary datasets.

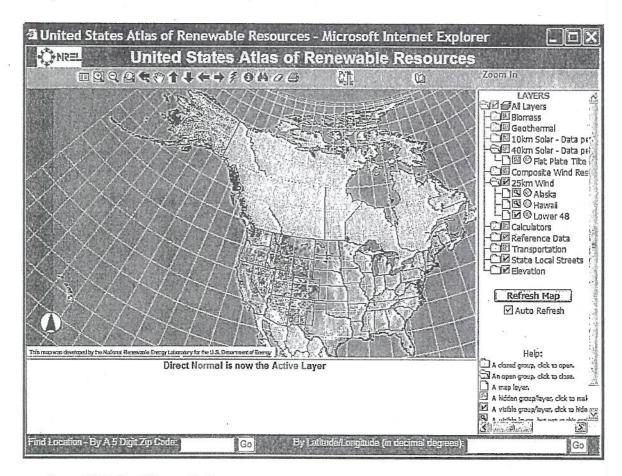


Figure 5 US Atlas of Renewable Resources

Acronyms Used

AOAEC	Arctic Ocean-Air Energy Conversion	*2
COET	Center for Ocean Energy Technology	NOAA
CSBAC '	Cold Seawater Based Air Conditioning	
DOE	Department of Energy	NOPP
ENSO	El-Nino/Southern Oscillation	
FAU	Florida Atlantic University	NREL
GIS	Geospatial Information System	OTEC
HIGP	Hawaii Institute of Geophysics and	OTEEV
	Planetology	
HNEI	Hawaii Natural Energy Institute	PI
HYCOM	HYbrid Coordinate Ocean Model	QC
IPRC	International Pacific Research Center	RReDC
IRAD	Internal Research and Development	SODA
LM	Lockheed Martin	SOEST
MPEE	Maximum Practicably Extractable	
	Energy	SSMI
MS2	Maritime Systems & Sensors	UH
NAVOCE	ANO Naval Oceanographic Office	V&V

NCEP	National Centers for Environmental
	Prediction
NOAA	National Oceanic and Atmospheric Administration
NOPP	National Oceanographic Partnership
	Program
NREL	National Renewable Energy Laboratory
OTEC	Ocean Thermal Energy Conversion
OTEEV	Ocean Thermal Extractable Energy
	Visualization
PΙ	Principal Investigator
QC	Quality Control
RReDC	Renewable Resource Data Center
SODA	Simple Ocean Data Assimilation
SOEST	School of Ocean and Earth Science and
	Technology
SSMI	Special Sensor Microwave/Imager
UH	University of Hawaii
V&V	validation and verification

3 Project Time Table

ID		Tack Name	Start	Finish		Otr 4, 2009	Otr 1, 2010	06-7	2010	Cfr 3, 2010	Otr 4, 2010	Otr 1, 2011
	6		less visit visit		Sea	Oct Nov Dac	Jan Feb 1	Har Apr	Liny Jun	Jul Aug Sen	Oct Nov Dec	Jan Feb Lin
1		Ocean Thermal Extractable Energy Visualization	Mon 10/5/09	Fri 3/25/1 1								SUN THE MIS
2	0	Face-to-Face Meetings	Thu 11/26/09	Thu 8/26/10		*				*		
5		Interface Definition	Mon 10/5/09	Fri 11/27/09						approximately and the second s		
6	=	Data Integration Prototyping	Mon 11/30/09	Frt 3/5/10		EEE		1				
7		Data Collection	Mon 10/5/09	Fri 4/2/10		passocease	1915010000	1502		Appendix Property Commencer Commence		
8	=	Gap Filling	Mon 3/8/10	Fri 5/28/10				RATE OF SEC.	2025G			
3	E=	Algorithm Development	Mon 1/4/10	Fri 6/25/10			ESPONENCE	05:50				
10	\vdash	· Model Execution	Mon 6/28/10	Fri 7/30/10						i Berkar I		
11	邑	Data V&V	Mon 4/5/10	Fri 6/25/10				B-S	क्रमसम्बद्ध			
12	■.	Methodology V&V	Mon 5/18/10	Fri 7/30/10					2000			
13	e	Model Output Integration into	Mon 6/28/10	Fri 9/17/10								
14		Final Product Review (V&V)	-Mon 9/20/10	Fri 10/22/10						E	584 	
15	<u> </u>	Distribution of Results	Mon 10/25/10	Fri 3/25/11							120,000	
16		Tool Publication	Mon 11/1/10	Fri 11/26/10							2000	

FLORIDA &TLANTIC UNIVERSITY.

June 1, 2009

August Walker Lockheed Martin Marine Systems & Sensors 9500 Godwin Drive Manassas, VA 20110

Dear Mr. Walker:

Florida Atlantic University is pleased to confirm its commitment as a participant with Lockheed Martin MS2 for Topic Area 3D application entitled "An assessment of global and domestic U.S. ocean thermal energy resources to determine maximum practicably extractable energy.

Sincerely,

Lucas XI. Strongs

Susan H. Skemp Executive Director

Center for Ocean Energy Technology



June 1, 2009

Mr. August Walker Lockheed Martin MS2 9500 Godwin Dr. Manassas, VA 20110

RE: Letter of Support for Lockheed-Martin Advanced Water Power Proposal under DE-FOA-0000069

Dear Mr. Walker.

The Hawaii National Marine Renewable Energy Center (NMREC) is led by the Hawaii Natural Energy Institute (HNEI) of the School of Ocean and Earth Science and Technology (SOEST) of the University of Hawaii (UH). The objectives of the NMREC are to facilitate demonstration of grid connected wave energy generation technology and to advance the state-of-the-art for Ocean Thermal Energy Conversion Technology. Issues associated with local and large scale environmental issues and resource assessments are of significant interest to the Center. Thus, the Hawaii Natural Energy Institute (HNEI), is pleased to support Lockheed-Martin's (LM)proposal to the U.S. Department of Energy for the Advanced Water Power funding opportunity DE-FOA 0000069 under Topic Area 3D: "Ocean Thermal Extractable Energy Visualization".

Under LM's proposal, faculty from SOEST propose to provide support in the area of Ocean Circulation Data Generation as detailed in the proposal.

Performance of the work will be contingent upon negotiation of a mutually acceptable agreement between UH and LM.

Sincerely,

Richard Rocheleau

RihaltRoll

Director

1660 East-West Road, POST 109, Honofulu, Havari 96822 Telephone: (808) 956-8690 Fax: (808) 956-2336 An Equal Opportunity/Affirmative Action Institution



National Renewable Energy Laboratory Innovation for Our Energy Future

May 29, 2009

August Walker Lockheed Martin MS2 9500 Godwin Drive Manassas, VA 20110

RE: Advanced Water Power – Program Announcement
Funding Opportunity Number: DE-FOA-0000069
Topic Area 3D: An assessment of global and domestic U.S. ocean thermal energy resources to determine maximum practicably extractable energy.

Dear Mr. Walker:

I am writing to confirm our intent to collaborate with Lockheed Martin Maritime Systems & Sensors on their proposal, entitled "Ocean Thermal Extractable Energy Visualization" submitted under Topic Area 3D: An assessment of global and domestic U.S. ocean thermal energy resources to determine maximum practicably extractable energy. Based on preliminary discussions, we are happy to provide support as outlined on the Field Work Proposal and estimate our total level of effort at \$125K over a two year performance period. Of course, a more detailed cost estimate will be prepared with a successful award and with concurrence of our DOE sponsors.

NREL looks forward to working with colleagues on the Lockheed Martin team in this important area of research.

Sincerely Yours,

Fort Felker

Center Director

NREL's National Wind Technology Center

cc: Technology Transfer Office, NREL George Scott Tom Stoffel OMS #10682

OMB Number: 4040-0004 Expiration Date: 01/31/2009

Application for Federal Assistance	e SF-424	8	Version 02					
*1. Type of Submission:	*2. Type of Applicatio	n * If Revision, select appropriate letter(s)						
☐ Preapplication	⊠ New							
	☐ Continuation	*Other (Specify)						
☐ Changed/Corrected Application	Revision							
*3. Date Received: 4.	Applicant Identifier:							
	*	•						
		*SL Salard Arrand Identifican						
5a. Federal Entity Identifier:		*5b. Federal Award Identifier:	E.					
State Use Only:								
6. Date Received by State:	7. State Ap	plication Identifier:	21					
8. APPLICANT INFORMATION:	(0							
*a. Legal Name: Lockheed Martin Co	rporation							
*b. Employer/Taxpayer Identification N 521893632	lumber (EIN/TIN):	mber (EIN/TIN): *c. Organizational DUNS: 019710586						
d. Address:								
*Street 1: 9500 Godw	in Dr							
Street 2:								
*City: Manassas	The Court	"						
County:		2						
*State: <u>VA</u>		·						
Province:								
*Country: Prince Willi	iam							
*Zip / Postal Code 20110								
e. Organizational Unit:		1 .	,					
Department Name:	3	Division Name:						
New Ventures	20	Maritime Systems and Sensors						
f. Name and contact information o	f person to be contac	cted on matters involving this application:						
		*	8.					
Prefix: <u>Mr</u>	*First Name:	Stan						
Middle Name:								
*Last Name: Barasha	•1							
Suffix:	*							
Title: Contract Manager								

Organizational Affiliation:		
	N·	
*Telephone Number: 703 367 5377	Fax Number: 703 367 2385	
*Email: stan.barasha@lmco.com		·
		OMB Number: 4040-000- Expîration Date: 01/31/2009
Application for Federal Assistance SF-424		Version 02
9. Type of Applicant 1: Select Applicant Type: Q. For-profit Org(Other Than Small Business)		
Type of Applicant 2: Select Applicant Type:		
Type of Applicant 3: Select Applicant Type:	ij.	
*Other (Specify)		
*10 Name of Federal Agency: Department of Energy - Golden Field Office	•	
11. Catalog of Federal Domestic Assistance Number:	- E	:
CFDA Title: 81.087		20
*12 Funding Opportunity Number:		
DE-FOA-0000069	2 24	
*Title: Advanced Water Power	2	
13. Competition Identification Number:		·,
Title:	s	
•	10 10	g
4	; **	*

14. Areas Affected by Project (Cities, Counties, States, etc.):

*15. Descriptive Title of Applicant's Project:	
Ocean Thermal Extractable Energy Visualization	
	er: 4040-0004
Expiration Dat	e: 01/31/2009
Application for Federal Assistance SF-424	/ersion 02
16. Congressional Districts Of:	
*a. Applicant: VA010 *b. Program/Project: VA010, FL022, CO, HI	
Attach an additional list of Program/Project Congressional Districts if needed.	
17. Proposed Project:	
*a. Start Date: Oct 1, 2009	
18. Estimated Funding (\$):	
*a. Federal 500,000	
*b. Applicant 0 *c. State	
*d. Local	
*e. Other	
*f. Program Income0	
*g. TOTAL 500,000	
*19. Is Application Subject to Review By State Under Executive Order 12372 Process?	
a. This application was made available to the State under the Executive Order 12372 Process for review on b. Program is subject to E.O. 12372 but has not been selected by the State for review.	•
 □ b. Program is subject to E.O. 12372 but has not been selected by the state for review. □ c. Program is not covered by E. O. 12372 	
*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)	
☐ Yes ☑ No Explanation:	
21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the state herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agre with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may be to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001)	e to comply
★* I AGREE	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announce agency specific instructions	cement or
Authorized Representative:	
Prefix: Mr. *First Name: Stan Middle Name:	727

(

*Last Name: Suffix:	Barasha	_		
*Title: Contrac	et Manager	.5		
*Telephone Nu	umber: 703 367 5377		Fax Number: 703 367 23	85
* Email: stan.t	parasha@lmco.com			.11
*Signature of A	Authorized Representative:	うんる	Ce *Dat	te Signed: 6/3/09

Authorized for Local Reproduction

Standard Form 424 (Revised 10/2005) Prescribed by OMB Circular A-102

OMB Number: 4040-0004 Expiration Date: 01/31/2009

Application for Federal Assistance SF-424

Version 02

*Applicant Federal Debt Delinquency Explanation

The following should contain an explanation if the Applicant organization is delinquent of any Federal Debt.

CERTIFICATIONS AND ASSURANCES

For Use with SF 424, Block 21 SF 424 (R&R), Block 18 SF 424 Mandatory, Block 17 SF 424 Individual, Block 7

PART 1. GOVERNMENT-WIDE CERTIFICATION

A. Certification Regarding Lobbying Restrictions in 31 U.S.C. 1352

I certify, to the best of my knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance will be placed when entering into any transaction made or entered into as a result of this application. Submission of this certification is a prerequisite for making or entering into a transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certificate shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000 for each such failure.

PART 2. DOE-SPECIFIC ASSURANCES

ATTACHMENTS

- A. NATIONAL POLICY ASSURANCES TO BE INCORPORATED AS AWARD TERMS
- B. DOE F 1600.5 Assurance of Compliance Nondiscrimination in Federally Assisted Programs

Jenson Jenson

DOE F 1600.5

(06-94)
All Other Editions are Obsolete

U.S. Department of Energy

Assurance of Compliance

OMB Control No.

1910-0400

Nondiscrimination in Federally Assisted Programs

OMB Burden Disclosure Statement

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans, and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1900-0400), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1900-0400), Washington, DC 20503.

The Applicant hereby AGREES to comply with Title VI of the Civil Rights Act of 1964 (Pub. L.88-352), Section 16 of the Federal Energy Administration Act of 1974 (Pub.L.93-275), Section 401 of the Energy Reorganization Act of 1974 (Pub.L.93-438), Title IX of the Education Amendments of 1972, as amended (Pub.L.92-318, Pub.L.93-568, and Pub.L.94-482), Section 504 of the Rehabilitation Act of 1973 (Pub.L.93-112), the Age Discrimination Act of 1975 (Pub.L.94-135), Title VIII of the Civil Rights Act of 1968 (Pub.L.90-284), the Department of Energy Organization Act of 1977 (Pub.L.95-91), and the Energy Conservation and Production Act of 1976, as amended (Pub.L.94-385) and Title 10, Code of Federal Regulations, Part 1040. In accordance with the above laws and regulations issued pursuant thereto, the Applicant agrees to assure that no person in the United States shall, on the ground of race, color, national origin, sex, age, or disability, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity in which the Applicant receives Federal assistance from the Department of Energy.

Applicability and Period of Obligation

In the case of any service, financial aid, covered employment, equipment, property, or structure provided, leased, or improved with Federal assistance extended to the Applicant by the Department of Energy, this assurance obligates the Applicant for the period during which Federal assistance is extended. In the case of any transfer of such service, financial aid, equipment, property, or structure, this assurance obligates the transferee for the period during which Federal assistance is extended. If any personal property is so provided, this assurance obligates the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance obligates the Applicant for the period during which the Federal assistance is extended to the Applicant by the Department of Energy.

Employment Practices

Where a primary objective of the Federal assistance is to provide employment or where the Applicant's employment practices affect the delivery of services in programs or activities resulting from Federal assistance extended by the Department, the Applicant agrees not to discriminate on the ground of race, color, national origin, sex, age, or disability, in its employment practices. Such employment practices may include, but are not limited to, recruitment advertising, hiring, layoff or termination, promotion, demotion, transfer, rates of pay, training and participation in upward mobility programs; or other forms of compensation and use of facilities.

Subrecipient Assurance

The Applicant shall require any individual, organization, or other entity with whom it subcontracts, subgrants, or subleases for the purpose of providing any service, financial aid, equipment, property, or structure to comply with laws cited above. To this end, the subrecipient shall be required to sign a written assurance form, however, the obligation or both recipient and subrecipient to ensure compliance is not relieved by the collection or submission of written assurance forms.

Data Collection and Access to Records

The Applicant agrees to compile and maintain information pertaining to programs or activities developed as a result of the

Applicant's receipt of Federal assistance from the Department of Energy. Such information shall include, but is not limited to, the following: (1) the manner in which services are or will be provided and related data necessary for determining whether any persons are or will be denied such services on the basis of prohibited discrimination; (2) the population eligible to be served by race, color, national origin, sex, age, and disability; (3) data regarding covered employment including use or planned use of bilingual public contact employees serving beneficiaries of the program where necessary to permit effective participation by beneficiaries unable to speak or understand English; (4) the location of existing or proposed facilities connected with the program and related information adequate for determining whether the location has or will have the effect of unnecessarily denying access to any person on the basis of prohibited discrimination; (5) the present or proposed membership by race, color, national origin, sex, age, and disability, in any planning or advisory body which is an integral part of the program; and (6) any additional written data determined by the Department of Energy to be relevant to its obligation to assure compliance by recipients with laws cited in the first paragraph of this assurance.

The Applicant agrees to submit requested data to the Department of Energy regarding programs and activities developed by the Applicant from the use of Federal assistance funds extended by the Department of Energy, Facilities of the Applicant (including the physical plants, building, or other structures) and all records, books, accounts, and other sources of information pertinent to the Applicant's compliance with the civil rights laws shall be made available for inspection during normal business hours on request of an officer or employee of the Department of Energy specifically authorized to make such inspections. Instructions in this regard will be provided by the Director, Office of Civil Rights, U.S. Department of Energy.

This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts (excluding procurement contracts), property, discounts or other Federal assistance extended after the date hereto, to the Applicants by the Department of Energy, including installment payments on account after such data of application for Federal assistance which are approved before such date. The Applicant recognizes and agrees that such Federal assistance will be extended in reliance upon the representation and agreements made in this assurance and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, the successors, transferees, and assignees, as well as the person(s) whose signature appears below and who are authorized to sign this assurance on behalf of the Applicant.

Applicant Certification

The Applicant certifies that it has complied, or that, within 90 days of the date of the grant, it will comply with all applicable requirements of 10 C.F.R. § 1040.5 (a copy will be furnished to the Applicant upon written request to DOE).

S. Bue

U.S. DEPARTMENT OF ENERGY

FINANCIAL ASSISTANCE CERTIFICATIONS AND ASSURANCES FOR USE WITH SF 424

Applicant: Lockheed Martin MS2		
	2	
Solicitation No.: DE-FOA-0000069		

The following certifications and assurances must be completed and submitted with each application for financial assistance. The name of the person responsible for making the certifications and assurances must be typed in the signature block on the forms.

Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug Free Workplace Requirements

DOE F 1600.5, Assurance of Compliance Nondiscrimination in Federally Assisted Programs

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 10 CFR Part 601 "New Restrictions on Lobbying," 10 CFR Part 606 "Governmentwide Debarment and Suspension (Nonprocurement) and 10 CFR Part 607 "Governmentwide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Energy determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

- No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or (1) attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement,
- If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to (2)influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- The undersigned shall require that the language of this certification be included in the award documents for all subawards at all (3) tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

ADDITIONAL LOBBYING REPRESENTATION 2.

Applicant organizations which are described in section 501(c)(4) of the Internal Revenue Code of 1986 and engage in lobbying activities after December 31, 1995, are not eligible for the receipt of Federal funds constituting an award, grant, or loan.

As set forth in section 3 of the Lobbying Disclosure Act of 1995 as amended, (2 U.S.C. 1602), lobbying activities are defined broadly to include, among other thins, contacts on behalf of an organization with specified employees of the Executive Branch and Congress with Endared legislative, regulatory, and program administrative matter

regard to Federal legislative, regulatory, and program administrative matters.
Check the appropriate block:
The applicant is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986? Yes No
If you checked "Yes" above, check the appropriate block:
The applicant represents that after December 31, 1995 it has has not engaged in any lobbying activities as defined in the Lobbying Disclosure Act of 1995, as amended.
DEPARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

- The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals: (1)
 - Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from (a) covered transactions by any Federal department or agency;
 - Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against (b) them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust

statutes or commission of embezzlement, theft, forgery, bribery; falsification or destruction of records, making false statements, or receiving stolen property;

- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. DRUG-FREE WORKPLACE

This certification is required by the Drug-Free Workplace Act of 1988 (Pub.L. 100-690, Title V, Subtitle D) and is implemented through additions to the Debarment and Suspension regulations, published in the Federal Register on January 31, 1989, and May 25, 1990.

ALTERNATE I (GRANTEES OTHER THAN INDIVIDUALS)

- (1) The grantee certifies that it will or will continue to provide a drug-free workplace by:
 - (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an ongoing drug-free awareness program to inform employees about:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
 - (e) Notifying the agency, in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
 - (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so-convicted:
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State or local health, law enforcement, or other appropriate agency;
 - (g) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (a),(b),(c),(d),(e), and (f).

(2)	The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:
Place of	Performance: (Street address, city, county, state, zip code)
	odwin Drive William County
	sas, Va. 20110
Che	eck if there are workplaces on file that are not identified here.
ALTER	NATE II (GRANTEES WHO ARE INDIVIDUALS)
(1)	The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant.
(2)	If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.
5.	SIGNATURE
As the d	uly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.
Name of	Applicant: Lockheed Martin MS2
	Name and Title of zed Representative: Stan Barasha, Contract Manager
\leq	France 6/3/09
SIGNA	TURE DATE .

DOE F 1600.5 (06-94) All Other Editions are Obsolete

U.S. Department of Energy Assurance of Compliance

Nondiscrimination in Federally Assisted Programs

OMB Burden Disclosure Statement

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans, and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1900-0400), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1900-0400), Washington, DC 20503.

HEREBY AGREES to comply with Title VI of the Civil Rights Act of 1964 (Pub. L.88-352), Section 16 of the Federal Energy Administration Act of 1974 (Pub.L.93-275), Section 401 of the Energy Reorganization Act of 1974 (Pub.L.93-438), Title IX of the Education Amendments of 1972, as amended (Pub.L.92-318, Pub.L.93-568, and Pub.L.94-482), Section 504 of the Rehabilitation Act of 1973 (Pub.L.93-112), the Age Discrimination Act of 1975 (Pub.L.94-135), Title VIII of the Civil Rights Act of 1968 (Pub.L.90-284), the Department of Energy Organization Act of 1977 (Pub.L.95-91), and the Energy Conservation and Production Act of 1976, as amended (Pub.L.94-385) and Title 10, Code of Federal Regulations, Part 1040. In accordance with the above laws and regulations issued pursuant thereto, the Applicant agrees to assure that no person in the United States shall, on the ground of race, color, national origin, sex, age, or disability, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity in which the Applicant receives Federal assistance from the Department of Energy.

Applicability and Period of Obligation

In the case of any service, financial aid, covered employment, equipment, property, or structure provided, leased, or improved with Federal assistance extended to the Applicant by the Department of Energy, this assurance obligates the Applicant for the period during which Federal assistance is extended. In the case of any transfer of such service, financial aid, equipment, property, or structure, this assurance obligates the transferee for the period during which Federal assistance is extended. If any personal property is so provided, this assurance obligates the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance obligates the Applicant for the period during which the Federal assistance is extended to the Applicant by the Department of Energy.

Employment Practices

Where a primary objective of the Federal assistance is to provide employment or where the Applicant's employment practices affect the delivery of services in programs or activities resulting from Federal assistance extended by the Department, the Applicant agrees not to discriminate on the ground of race, color, national origin, sex, age, or disability, in its employment practices. Such employment practices may include, but are not limited to, recruitment advertising, hiring, layoff or termination, promotion, demotion, transfer, rates of pay, training and participation in upward mobility programs; or other forms of compensation and use of facilities.

Subrecipient Assurance

The Applicant shall require any individual, organization, or other entity with whom it subcontracts, subgrants, or subleases for the purpose of providing any service, financial aid, equipment, property, or structure to comply with laws cited above. To this end, the subrecipient shall be required to sign a written assurance form, however, the obligation or both recipient and subrecipient to ensure compliance is not relieved by the collection or submission of written assurance forms.

Data Collection and Access to Records

The Applicant agrees to compile and maintain information pertaining to programs or activities developed as a result of the Applicant's receipt of Federal assistance from the Department of Energy. Such information shall include, but is not limited to, the following: (1) the manner in which services are or will be provided and related data necessary for determining whether any persons are or will be denied such services on the basis of prohibited discrimination; (2) the population eligible to be served by race, color, national origin, sex, age, and disability; (3) data regarding covered employment including use or planned use of bilingual public contact employees serving beneficiaries of the program where necessary to permit effective participation by beneficiaries unable to speak or understand English; (4) the location of existing or proposed facilities connected with the program and related information adequate for determining whether the location has or will have the effect of unnecessarily denying access to any person on the basis of prohibited discrimination; (5) the present or proposed membership by race, color, national origin, sex, age, and disability, in any planning or advisory body which is an integral part of the program; and (6) any additional written data determined by the Department of Energy to be relevant to its obligation to assure compliance by recipients with laws cited in the first paragraph of this assurance.

DOE F 1600.5 (06-94) All Other Editions are Obsolete

The Applicant agrees to submit requested data to the Department of Energy regarding programs and activities developed by the Applicant from the use of Federal assistance funds extended by the Department of Energy, Facilities of the Applicant (including the physical plants, building, or other structures) and all records, books, accounts, and other sources of information pertinent to the Applicant's compliance with the civil rights laws shall be made available for inspection during normal business hours on request of an officer or employee of the Department of Energy specifically authorized to make such inspections. Instructions in this regard will be provided by the Director, Office of Civil Rights, U.S. Department of Energy.

This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts (excluding procurement contracts), property, discounts or other Federal assistance extended after the date hereto, to the Applicants by the Department of Energy, including installment payments on account after such data of application for Federal assistance which are approved before such date. The Applicant recognizes and agrees that such Federal assistance will be extended in reliance upon the representation and agreements made in this assurance and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, the successors, transferees, and assignees, as well as the person(s) whose signature appears below and who are authorized to sign this assurance on behalf of the Applicant.

Applicant Certification

The Applicant certifies that it has complied, or that, within 90 days of the date of the grant, it will comply with all applicable requirements of 10 C.F.R. § 1040.5 (a copy will be furnished to the Applicant upon written request to DOE).

Designated Responsible Employee STAN BARASHA CONTRACT HIR Name and Title (Printed to Typed)	(103) 36-7 - 5317 Telephone Number
Signature	6/3/09 Date
LOCKILIZED PLAZINU PLS Z Applicant's Name 9500 GODUNN DRIVE Address: MANASSAS, VA. 20110	[6] 36-7-5377 Telephone Number 6/3/09 Date
Authorized Official: President, Chief Executive Officer or Authorized Designee SALV BALASHA CARRET HA	18 27 - 5317
Name and Title (Printed to Typed)	Telephone Number

DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352 (See reverse for public burden disclosure.)

1. Type of Federal Action: 2. Status of Federal Action: 3. Report Type: a. bid/offer/application a. initial filing a. contract b. initial award b. material change b. grant For Material Change Only: c. post-award c, cooperative agreement quarter d. loan e. loan guarantee date of last report f. loan insurance 5. If Reporting Entity in No. 4 is a Subawardee, Enter Name 4. Name and Address of Reporting Entity: and Address of Prime: Subawardee × Prime N/A Tier____, if known: LOCKHEED HADDN HSZ 9500 GODWIN DRIVE MANASSAS, VA ZZSS/ Congressional District, if known: 4c VA010 Congressional District, if known: 6. Federal Department/Agency: 7. Federal Program Name/Description: DE-FOA-0000069 Department of Energy, Golden Field Office CFDA Number, if applicable: 81.087 9. Award Amount, if known: 8. Federal Action Number, if known: \$ b. Individuals Performing Services (including address if 10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): different from No. 10a) (last name, first name, MI): N/A N/A 11 Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact Signature: Print Name: Stan Barasha upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the Title: Contract Manager required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. Telephone No.: 703 367 5377 6/3/09 Date: Authorized for Local Reproduction Federal Use Only: Standard Form LLL (Rev. 7-97)

> DIENSE NOTE THERE LEE NO DISCLOSED LOBBYING ACTIVITIES. FOR DE-FOA-0000069.

Project/Performance Site Location(s)

Indicate the primary site where the work will be performed. If a portion of the project will be performed at any other site(s), identify the site location(s) in the blocks provided. You can copy the informational table as many times as needed, or delete tables that are not needed.

Note that the Project/Performance Site Congressional District is entered in the format of the 2 digit state code followed by a dash and a 3 digit Congressional district code, for example VA-001.

Project/Performance Site Location:

Lockheed Martin MS2

Organization Name:

Lockheed Martin

DUNS:

019710586

*Street1:

9500 Godwin Dr

Street2:

*City:

Manassas

County: Prince William

*State:

Province:

*Country:

USA

VA

ZIP / Postal Code:

20110

Project / Performance Site Congressional District:

Project/Performance Site Location:

Florida Atlantic University Center for Ocean Energy Technology

Organization Name:

DUNS Number:

Florida Atlantic University 004147534

*Street1:

777 Glades Road

Street2:

*City:

Boca Raton

County: Palm Beach

County: Honolulu

*State:

Province:

*Country:

USA

FI

ZIP / Postal Code:

33431-0991

Project / Performance Site Congressional District:

FL022

Project/Performance Site Location:

University of Hawaii School of Ocean and Earth Science and

Technology (SOEST)

Organization Name:

University of Hawaii, Manoa

DUNS Number:

965088057

*Street1:

1680 East West Road

Street2:

POST Bldg.

*Citv:

Honolulu

*State:

Province:

*Country:

USA

ZIP / Postal Code:

96822

Hawaii

Project / Performance Site Congressional District:

HI001

OMB Number: 4040-0010 Expiration Date: 08/31/2011

Project/Performance Site Location:

National Renewable Energy Laboratory Golden

Organization Name:

National Renewable Energy Laboratory

DUNS Number:

80-594-8051

*Street1:

1617 Cole Blvd, Golden, CO

Street2:

*City:

Golden Colorado County: Jefferson

*State:

Province: *Country:

USA

ZIP / Postal Code:

80401

Project / Performance Site Congressional District:

CO007

Coordination and Management Plan

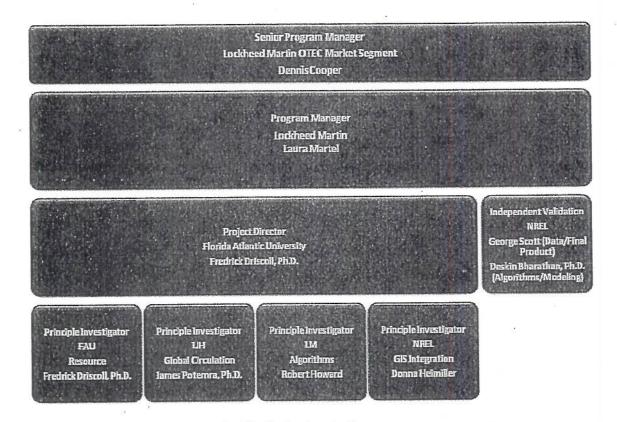


Figure 1 Ocean Thermal Energy Extraction Visualization Organization

Organization - The organizational relationships between and among the team members are shown in Figure 1. Lockheed Martin (LM) is the prime contractor for the Ocean Thermal Energy Extraction Visualization (OTEEV) project in response to the Advanced Water Power Funding Opportunity Announcement DE-FOA-0000069 Topic 3, Subtopic D. In this role LM is the primary interface to DOE and LM is responsible for the overall contract administration and financial management. Laura Martel, serving as the LM Program Manager, is responsible for the overall management of the program and is the primary interface with DOE. Ms. Martel reports to Mr. Dennis Cooper, Senior Program Manager of the OTEC Market Segment under Lockheed Martin's New Ventures Line of Business.

During the preparation of this proposal, Ms. Martel was the Proposal Manager and led the team in the preparation of the project plan. Thus, she is

intimately knowledgeable about all the goals, objectives, and risks associated with the development of this model. Steve Barasha supports Ms. Martel in contract administration and in all contract related communication with DOE. Ms. Martel interfaces with the project leadership of the team members' organizations for all programmatic matters. Dr. Frederick Driscoll of Florida Atlantic University is the overall Project Director. Dr. Driscoll is responsible for the overall project coordination and the consolidated technical approach that is intended to yield the OTEEV tool. Additionally, Dr. Driscoll is responsible for ensuring all of the Principal Investigators provide appropriate technical content on schedule. He is also responsible to ensure that appropriate interfaces among the resource data, algorithms, and GIS database are established early so that data is compatible with the model and database structure and uploads and queries are readily

Coordination and Management Plan

accomplished. Donna Heimiller is the PI for NREL's GIS definition and data integration. George Scott (data, final product) and Dr. Desikan Bharathan (algorithms and modeling) are the PIs for NREL's independent verification and validation activity. In these roles, Mr. Scott and Dr. Bharathan are authorized to communicate directly with Ms. Martel if it becomes necessary. After the data set, modeling and model outputs are verified, Ms. Heimiller oversees their integration into the production of the OTEEV tool.

Technical Direction – The Principal Investigators (PI) for each technical discipline are also shown in Figure 1. Dr. Driscoll of Florida Atlantic University is the PI for the collection of resource data and providing information to fill gaps in the data where that data is required for input into the OTEEV data set. Dr. James Potemra of the University of Hawaii is the PI for determining how Global Circulation data is obtained and how it is incorporated into the data set being compiled by Dr. Driscoll. Bob Howard of Lockheed Martin is the PI for developing the energy conversion model and the necessary algorithms to produce the output data to be incorporated into the OTEEV tool.

Publications - The team anticipates multiple open literature publications the presentations at appropriate conferences and symposia. Authorship is determined by standard guidelines that are applicable in academia. Contributing researchers are listed in order of the relative contribution by mutual agreement. We anticipate that PIs or their designate will be the primary author for work conducted under their direction. Further, we expect that NREL will be responsible for providing access to the OTEEV tool to the general public through their existing web site. In the event that a consensus on authorship cannot be reached, LM, exercising its responsibility as the Prime Contractor, will make the final decision.

Intellectual Property — The results from these studies and the final model will be available to the public via open literature and the NREL web site. All parties wave any right to intellectual property resulting from the OTEEV effort.

Communication - Formal communication for this project began when the OTEEV Team formed and preparation effort proposal Additionally, all the organizations and many of the PIs on this team have been in consultation as colleagues in renewable energy, primarily OTEC, prior to DOE's release of the FOA. During the development of this proposal LM hosted an Independent Product Development Environment, in which all proposal materials are shared equally with all Team Members. The Team also made use of teleconferences and email during development of the proposal to work together in a collaborative environment even though each member of the team is in a different geographic location. After the award is received, LM will continue to host these collaborative tools in order for the team to discuss progress and resolve issues on a biweekly basis. Additionally, representatives from DOE are welcome to join these discussions. These regularly scheduled meetings are an important component of the overall project because they provide a business rhythm that keeps the technical efforts moving forward. These meetings are in addition to the general on-going technical discussions that occur on an ad hoc basis between and among the PIs, PD and PM. We expect at least two face-to-face meetings during the 18 month program. The first is scheduled to occur after the majority of the data and interface requirements have been defined to ensure a common understanding and prepare for data prototyping. The second face-to-face meeting is scheduled to occur in the middle of the data integration into the GIS environment to address any interface issues and preview the final product.

Procedures for resolving conflicts — Each PI is responsible for resolving technical issues and other conflict within their respective organization. The

Coordination and Management Plan

Program Director is responsible for resolving conflicting between or among PIs. The Program Manager is responsible for resolving any contractual and financial issues between among Team Members and with DOE.

PIs' roles, technical and administrative - Each PI leads the overall technical effort for their respective organization and area of technical expertise. In addition to the PIs, each team members' organization has identified a project leader (Frederick Driscoll, FAU; Richard Rocheleau, UH; Thomas Stoffel, NREL) that will serve as the primary point-of-contact for administrative matters between LM and their home organization such as contract and financial management. In order to ensure contracting privacy, the Lockheed Martin Program Manager is responsible to DOE for overall management of the contract including delivery of technical products and reports on schedule and within budget. The LM management support function is responsible to maintain and provide the detailed contractual data to the LM PM.

This proposal is submitted in response to Advanced Water Power Projects Funding Opportunity Announcement Number DE-FOA-0000069 under Topic Area 3D, "An assessment of global and domestic U.S. ocean thermal energy resources to determine maximum practicably extractable energy." Lockheed Martin MS2 and its team members, Florida Atlantic University's Center for Ocean Energy Technology (FAU - COET), University of Hawaii's Hawaii Natural Energy Institute (UH - HNEI) and the National Renewable Energy Laboratory (NREL), are international leaders in the ocean energy field and they form a strong industry-led federal and academic partnership. The team aims to develop a GIS-based dataset and software tool, the Ocean Thermal Extractable Energy Visualization (OTEEV) tool. OTEEV will be used to provide a meaningful assessment of maximum practicably extractable energy from the global and domestic U.S. ocean thermal resource and identification of regions viable for Ocean Thermal Energy Conversion (OTEC) and Cold Seawater Based Air Conditioning (CSBAC). Through conferences and the publicly accessible web-based GIS tool, the OTEEV team will disseminate the newly available knowledge and insights to policymakers, the energy industry and the public. A multi-step technical methodology has been developed that leverages the strengths of each member to ensure a high quality and relevant product. Quality data sets will be synthesized from a wide array of sources, including historic measurements (where available) and state-of-the-art ground-truthed ocean numerical models to fill in the missing data to create a complete snapshot of the available energy resource. Extractable energy and other metadata are estimated using parametric models based on projected optimal achievable energy conversion rates for attainable future technology and sustainable energy extraction rates. Third-party verification of the techniques, data, and results provide quality control. Using GIS technology, geospatial maps are developed that include extractable energy, resource magnitude, thermal properties, and supporting information about data coverage and uncertainties. OTEEV and the supporting assessment meet all requirements of the solicitation.

The following proposal narrative is arranged in three major areas: Project Objectives, Merit Review Criteria, and Project Timeline. The bulk of the narrative describes how the proposed effort will directly satisfy the outlined Merit Review Criteria section, which describes in detail the proposed effort's technical merit and innovation, the effort's planned technical approach, and the partnership's qualification and resources. The technical merit of the proposed effort includes explanation of how the developed tool will be applicable to industry for development and commercialization, its applicability and value to research and policy agencies, and what the current state-of-the-art for resource assessment is. The technical approach section details the methodology, tasks and success criteria. The methodology section includes: partner collaboration approach, partner contribution and individual effort, and partner workflow. The tasks section includes: collecting existing resource data, developing models, incorporating model and resource data into GIS databases, and quality assessment and validation of the resulting tool. The success criteria section includes: definition of success criteria, how the criteria will be met, and how risk will be mitigated. Finally, the narrative summarizes partner qualifications as well as facilities and resources available which will be applied to the tool development effort.

The OTEEV project is lead by Laura Martel of Lockheed Martin with technical direction provided by Dr. Frederick Driscoll. Principal investigators include Dr. Frederick Driscoll from FAU for OTEEV input data, Dr. James Potemra from UH for OTEEV circulation data, Robert Howard of LM for OTEEV model development, Donna Heimiller from NREL for OTEEV to GIS data integration, George Scott and Dr. Desikan Bharathan from NREL for independent validation and verification.

REDACTED EXEMPTION 4

From: Krone, Peter [peter.krone@lmco.com] Sent: Monday, November 17, 2008 12:16 PM To: Ramsey, Tim; Framel, Curtis; Liles, Patrick

Cc: Cooper, Dennis; Varley, Robert; Miller, Alan; Krone, Peter; Wisnieski, Art

Subject: OTEC CWP Responses to Questions

Attachments: Glassforms Calculation 11-08.xls; Responses to DOE Questions 11-08.doc; pete.pdf

I am attaching responses to questions that you brought up last Friday. I am attaching information regarding the subcontractors, guidance from our Pricing Guideline Instructions and additional information pertaining to the Glassforms quote.

The attendees for the Wednesday meeting are Peter Krone, Rob Varley, Dennis Cooper and Alan Miller.

Regarding the condition placed on the cooperative agreement, it was my understanding that the condition was in conjunction with the end of the government fiscal year. Is it possible to get the condition lifted, recognizing that you may still want DCAA to review our cost volume?

See you Wednesday morning.

Peter Krone Senior Manager, Contracts W 703-367-5301 C 571-379-6784 Fx 703-367-4942 peter.krone@lmco.com REDACTED EXEMPTION 4

REDACTED EXEMPTION 4

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SPECIAL NOTICE

During fiscal years 2008 and 2009, the U. S. Department of Energy (DOE), will implement a new electronic procurement system.

As a result, DOE will also begin using a new communications portal as a means to post notices and solicitations as well as to communicate award activity (funding and non-funding) to awardees through the lifecycle of an award. This new system is called FedConnect.

Upon implementation of the new electronic procurement system, all organizations conducting (or wanting to conduct) business with DOE will be required to register in Fedconnect:

- 1. The URL for the FedConnect site is https://www.FedConnect.net/FedConnect/.
- 2. Register in FedConnect at https://www.fedconnect.net/FedConnect/PublicUserRegistration.aspx.
- To become familiar with the new procurement system, there is a "quick start guide" at https://www.FedConnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf.
- 4. Contact the helpdesk for FedConnect at support@fedconnect.net with any questions relative to registration.
- 5. FedConnect requires all organizations to be registered with the CCR before registering with FedConnect. The CCR website is http://www.ccr.gov. Please ensure your organization's information is up-to-date in the CCR and that the information corresponds to the information with Dun and Bradstreet http://www.dnb.com/us/.

In consideration of system implementation, the DOE Golden Field Office strongly advises all current and potential contractors and financial assistance recipients to register with FedConnect as soon as possible.

Thank you for your cooperation and understanding during this transition.



SECTION I – To be completed by the Specialist and forwarded to D&B Coordinator $\,\,$

- Aller Alle				
Name of Requestor:	Anne Elkins	_ Date of Request:	9/24/08	
Awardee Name:	Lockheed Martin Corporation	Award No.	DE-FG36-08GO18172	
Street Address:	9500 Godwin Drive	Project Title	Advanced Composite OTEC Cold Water Pipe Project	
City/State/ZIP:	Manassas, Virginia 20110	DUNS Number:	019710586	
Business Contact:	Peter Krone	Phone Number:	703-367-5301	
☐ The Recipient has been selected for Award. Please pull a Dun & Bradstreet (D&B) Business Information Report (BIR). This report should be requested on all For Profit and Non-Profit Recipients with awards > \$100K (DOE) (excluding Educational Institutions, Tribal Nations, or State and Local Governments). This form should be used for new awards, renewals and continuations.				
The Recipient is a Small Business entity and a D&B BIR report was pulled which identified a 4 rating. Please pull D&B Small Business Risk Account Scoring Report. The PMC460.3 "Authorization For Consumer Report Information" is properly signed and attached.				
☐ The Recipient has requeste	ed reassessment due to changed situation. Date	e of initial report was:	. A new PMC460.3 "Authorization	
For Consumer Report Informa	Madel setual illustra et alt abbaselet balleten 2006/1906/2006/1906/1906/1906/200	árközászál töléket elektő léft, MAKAKIT léj	o sooner than 6 months after initial D&B report date)	
SECTION IITo be completed by D&B Coordinator				
	e of D&B Report Pulled Business Information Report (BIR) Report Pulled Name:		r: Danela Garcia	
	Report (SBRASR) (PMC460.3 required)	Date:	9/25/2008	
	zation Verified Initial:	Electronic File Name:	PMC Shared Docs/Risk Assess/DB Reports/Lockheed Martin Corporation-BIR	
Comments: D&B was unable to provide a Headquarters report with a D&B Score, they were only able to provide a Branch report (free of charge). If needed please resend this request at a later date and we will try to reprocess it. Please view the report.				
D&B SCORE: not available SECTION III - To Be Completed by FOA/Congressional Directed Project Specialist				
The Specialist will make a risk assessment recommendation based on the following criteria.				
	Recipient is <u>not At Risk</u> if the last digit of the			
Other than Small Business:	Recipient is At Risk if the last digit of the BII			
Small Business:	If last digit of the BIR Score is 4, request a SBRASR report. If the SBRASR score is between 0 and 15, Recipient is At Risk. If the SBRASR score is between 16 and 30, Recipient is At Risk, but may not require as high of a level of monitoring. If the SBRASR score is greater than 30, Recipient is not At Risk. If there is an unexpected event or material item discovered which will impact the assessment, further analysis may be required. (i.e. information received in conversation with the recipient)			
		k Determination		
At Risk (Include the "At Risk" provision in the Terms and Conditions of the Award. Follow-up is required if any Action Items are checked below)				
Action Items/Recommen	idations:			
Awardee requires on-going monitoring: Activate D&B Customer Watch Alert Monitoring Service and forward the results to the Specialist. CP Analysis required on additional information received (i.e. Financial Statements, SBRASR Reports)* Other:				
Comments: The D&E	a Branch Office). Dun & Br a determination on a score. ith the information availabl	adstreet ratings do A report for the	ed Martin (The Duns number for not appear on Branch reports Main Office of Lockheed was herefore determines the	
Assessment Completed by	<i>7</i> :	Date:	St.	
Finter Name, Title1				

PMC 112.2 (07/24/2008)

J.S. DEPARTMENT OF ENERGY PROJECT MANAGEMENT CENTER

REQUEST FOR REVIEW

✓ Normal Review ☐ Expedited Review Justification for Expedited Review				
Peer Review	CO Review Independent Review Lega	l Review OAFA Branch Chief Review		
Date:	I.R. Number:			
FOA Number if new award: DE-PS36-08GO98030				
Item(s) For Review:	New Award: DE-FC36-08GO18172 Lockheed Martin Corp CONDITION SUBSEQUENT	Total \$ 3,922,229 Value:		
Specialist Name:	A. Elkins for P. Liles Phone: 303-275-4812			
	PEER REVIEW	Waived by Team Lead		
Comments:		a .		
Signature:		Date:		
	CONTRACTING OFFICER RE	VIEW		
Approved	Approved subject to comments below/attached	Not Approved; Comments below/attached		
Comments:		s		
Signature:		Date:		
	INDEPENDENT REVIEW			
Comments:				
Signature:		Date:		
	LEGAL REVIEW			
Legally Sufficient	Legally Sufficient subject to comments below/attached	Legally Insufficient; Comments below/attached		
Comments:		# W 4		
95 55	H .			
Signature:		Date:		
	OAFA BRANCH CHIEF REV	IEW		
Approved [Approved subject to comments below/attached	Not Approved; Comments below/attached		
Comments:				
Signature:		Date:		

PMC 119.1 (01/08)

U.S. DEPARTMENT OF ENERGY PROJECT MANAGEMENT CENTER



PROCUREMENT REQUEST PACKAGE CHECKLIST

AWARDEE NAME:	Lockheed Martin Corporation	PROCUREMENT REQUEST #:	36-08GO18172.000
-			

			Status Code/Legend			
Incl.	The document is in the file	PF .	Previously furnished to OAFA	PMD	Document in Project Management Database	
N/A	Not Applicable	Pending Insert the expected completion date of this document (MO/DAY/YEAR)				
Locatio	Location of Electronic Files (S:\ drive path): S:\Wind & Hydropower\FAA-GO 18xxx\GO 18172 Lockheed Martin					
All Procurement Request Packages will be sent in a red folder, with the checklist attached to the front. They will be delivered to the assigned						
Specialist's or assigned Program's OAFA Team Lead. Paper copies of documents required to be included in the package as indicated below.						

PART A FUNDING OPPORTUNITY ANNOUNCEMENT ONLY	Incl.	S: Drive	PF	PMD	N/A	Pending
Procurement Requirements Document, PMC 104.1 ID:	装鞭		#17771 18775		- John C	是在汽车
Procurement Request Routing Sheet, PMC 119.2		Execution.	151.1 6 - 1	15.4% 经票据 完整的228岁	277.1 1800.	等可以由于C ISCOM CETTE
Original signed PR, DOE F 4200.33 (Generate using MS Word Form)		Michael !			X.	
Procurement Strategy Document, PMC 105.1		TOWN:		数点的	877	
Determination of Restricted Eligibility, PMC 110.1 (as applicable)				超数 定则		
Draft Funding Opportunity Announcement, PMC 113.1				建设	4	
Draft Evaluation Plan, PMC 116.1				**************************************	7.5	-
PART B OTHER THAN FUNDING OPPORTUNITY ANNOUNCEMI	ENTS					
I. ALWAYS	Incl.	S: Drive	PF	PMD	N/A	Pending
Procurement Request Routing Sheet, PMC 119.2	X	ELECTION.	10	網級方		
Original signed PR, DOE F 4200.33 (Generate in PMC Database or WinSaga)	X	沙里河	脱線	建 定。	等的 對於 對 於	
Approved Program Guidance Letter (applicable to all funding actions)	Marin To teach	X	107	1022		
II. NEW, RENEWALS, AND CONTINUATIONS	Incl.	S: Drive	PF	PMD	N/A	Pending
Application for Federal Assistance (SF-424)	温酸	X				
Federal Assistance Budget Information (SF-424a or SF-424 R&R) (must be completed in PMD)	MARIA.					10/08
Cost Reasonableness Determination, PMC 123.1; or Budget Explanation for State and Local Governments (applicable to outreach-type projects)	總					10/08
Federal Assistance Reporting Checklist (DOE F 4600.2) and Attachments (applicable for all new awards, and if there has been a change to the RRCL since last award amendment)						10/08
Statement of Project Objectives (SOPO), PMC 134.1			DEE.	数数3.3		10/08
Environmental Checklist (EF-1)		100000	観念が			10/08
NEPA Review (EF2)	NAME OF		Maria Maria			10/08
NEPA Determination (EF2a) (Scope changes may necessitate another NEPA compliance review. Check with the NEPA Compliance Officer before proceeding.)						10/08
Technical Application (Send only the files available electronically)	海湾	X		48.75		
Cost/Technical Evaluation, PMC 120.1				1		10/08
III. SELECTION DOCUMENTATION FOR NEW, RENEWALS	Incl.	S: Drive	PF	PMD	N/A	Pending
Determination of Noncompetitive Financial Assistance, PMC 109 (as applicable)		82-5-1-1726 133-1-172		A STATE OF THE STA	X	
Competitive Selection Documentation (as applicable)			X			
IV. OTHER DOCUMENTATION	Incl.	S: Drive	PF	PMD	N/A	Pending
IDW Report (applicable to de-obligation actions only)			1756		Х	流流
Supporting Documents (as applicable)	X	X				
Correspondence (as applicable)					X	I Section

PMC 119.2 (02/08)

U.S. DEPARTMENT OF ENERGY PROJECT MANAGEMENT CENTER



PROCUREMENT REQUEST ROUTING SHEET

Awardee Name:	Lockheed Martin Corporation		
PR Number:	36-08GO18172.000		
Program:	Wind and Hydropower Technologies Program	N.	

artill.	AWARI	DS/AMENDMENTS/SOLICITATIONS
Action , No.	Please Initial, Date and Forward	Action
1	Project Monitor/Project Officer: (Optional) Tim Ramsey / Curtis Framel Initials: Date:	Prepare PR per instructions. Attach this routing sheet to front of red folder and place PR package in the folder with a PMC 119.1, Procurement Request Package Checklist. Forward to Project Officer (if prepared by Project Monitor). For Funding Actions: Sign and date in Blocks 13 and 14. Forward to Project Officer Branch Chief or OCPM Division Director or any Federal staff member formally authorized to act on either's behalf. For No-Fund Actions: Sign and date in Blocks 13 and 14 or delegate signatory authority to any OCPM Federal employee. Forward to any OCPM Federal employee not already identified in either Blocks 12 or 13.
2	Funding Actions: Project Officer Branch Chief or OCPM Division Director or Acting Initials: Date: No-Fund Actions: Any OCPM Federal employee not already identified in either Blocks	Review PR with PR package; sign and date PR in Blocks 41 and 42. Forward to Project Monitor or Project Officer.
	12 or 13 Initials: Date:	*
3	Project Monitor/Project Officer: (Optional) Tim Ramsey / Curtis Framel Initials: Date:	Route original, signed copy of funded PR to Finance without red folder. Route working copy of PR with PR package to OAFA in red folder. If no funds are involved or this is a deobligation of funds, send original PR with PR package in red folder to OAFA PR in-box. Sign PR in the PMC Database (if applicable).
		Indicate OAFA Branch Chief responsible for this action:
4	OAFA Branch Chief:	Review PR with PR package and assign award to Contract Specialist.
	Initials: Date: Assigned to: Contract Specialist	
5	Contract Specialist: Initials: Date:	File certified PR under Tab 1 of file (discard working copy, if applicable). Set up award file, originate NFAA, transmittal letter, and IPAR, along with any other required documentation.

PMC 127.1 12/05

U.S. DEPARTMENT OF ENERGY PROJECT MANAGEMENT CENTER



FINANCIAL ASSISTANCE AWARD LOG

Awardee:	Lockheed Martin Corporation	Award No.:	DE-FC36-08GO18172	Page 1	of	_1_
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DOE Share % / FFRDC Share % / Recipient Share % / Total Project Cost ▶			oject Cost ▶	30.49%	0.00%	69.51%	The second secon	Total Obs
				\$ 1,195,758		\$ 2,726,471		\$ 601,537
					Cost S	Share		
Action	Budget Period	Project	Period	Federal	FFRDC	Non- Federal	Change in Award Value]]
New Conditional Award	From: 9/15/20008 To: 9/14/2009	From: To:		601,537		1,392,710		601,53
New Oorland Harriwara	From: To:	From: To:			KV.			l I
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	Cumulat	Action	New Conditional Award	Action	New Conditional Award	Action	Action	New Conditional Award

U.S. DEPARTMENT OF ENERGY PROJECT MANAGEMENT CENTER



	FINANCIAL ASSISTANCE AWARD/AMEN	IDMENT FILE CI					
Award/Amd. No.: DE-FC36-08GO18172 / A000 Specialist: Patrick Lile							
FOA No.	: DE-PS36-08GO98030	Telephone:	(303) 275-4921				
Awardee	: Lockheed Martin Corporation	Project Officer:	Curtis Framel				
Awardee	Business Contact: Peter Krone	Telephone:	(303) 275-4872				
Telephor	Telephone: 703-367-5301						
ITEM	DOCUMENT		IN FILE (X)				
		30 St					
1	Procurement Request – Authorization (DOE F 4200.33)		X				
. 2	Selection Documentation		X				
3	Condition Subsequent Approval	7	X				
4	Any Deviations (10 CFR 600.4)						
5	NEPA Determination/Documentation		TBD				
6	IPLD Pre-award Review Request (GO)		TBD				
7	Copy of Successful Application	7 / A . 18 / D	X				
8	Debarred List (http://epls.arnet.gov/) and CCR Registration	on Verification	X				
	(www.ccr.gov)						
9	Dun & Bradstreet Pre-Screening		X				
10	Cost / Price Documentation		X				
11	Memo to File and Justification for Conditional Award		X				
12	Pre-award Cost Authorization Correspondence						
13	Pre-award Information Sheet		TBD				
14	Certifications, Assurances and Representations		X				
15	Reports Maintenance (NETL)		N/A				
16	Congressional Affairs Notification (DOE F 4220.10)		X				
17	ASAP Documentation		TBD				
18	Request for Review		X				
19	Headquarters Clearance Review	6 6	N/A				
20	Award Distribution		<u>X</u> .				
. 21	Individual Procurement Action Report (IPAR) (DOE F 42	200.40A)	X				
22	Transmittal Letter and Miscellaneous Correspondence		X				
	4						
OTHER	DOCUMENTS		37				
	Financial Assistance Award Log		X				
4		11 6 1. 7 .	1				
REPOR	TS: Reporting deliverables required under this award (other	er than final technic	cai reports in USII) are				
officially	maintained electronically in the PMC Database Win aintained and destroyed, in accordance with DOE Records	Managament Decr	lations				
		ivianagement Regu	nanons.				
THAOTC	ES: (Separate File)						

Mr. Peter Krone Lockheed Martin Corporation 9500 Godwin Drive Manassas, VA 20110

Dear Mr. Krone:

SUBJECT:

Transmittal of Conditional Award No. DE-FC36-08GO18172, Amendment No.

A000; Advanced Composite OTEC Cold Water Pipe Project

The enclosed conditional award, executed on behalf of the U.S. Department of Energy (DOE), was prepared using your application's proposed budget information. Please refer to Attachment 1, Provision 1, Special Terms and Conditions, of the award and note that DOE will not release funds obligated by the award until the final terms of the award are approved by the Contracting Officer. All costs incurred prior to the approval of the final terms and conditions of the award, by the DOE Contracting Officer, are at your own risk. Please review the conditional award and sign Block 20 in both copies of the Notice of Financial Assistance Award (DOE Form 4600.1). Retain one copy of the award for your file and return the remaining copy to me no later than two weeks after the date of receipt. A representative from this office will contact you to request additional information and documentation to supplement your application and to negotiate the final terms of the award.

The U.S Department of Energy (DOE) uses the Automated Standard Application for Payments System (ASAP) as the standard civilian Federal award payment system. If you are not currently enrolled in ASAP under the DOE/Golden Field Office Agency Locator and Region Code (8900-0001-04), you will be contacted by the U.S. Department of Treasury with further instruction on completing the ASAP enrollment process.

IMPORTANT: Please complete the 'Financial Assistance Pre-Award Information Sheet' (PMC 121.1), which can be found at https://www.eere-pmc.energy.gov/Forms.aspx, and promptly return it to me at the e-mail address listed below.

If you intend to request an advance waiver of patent rights, in accordance with applicable statutes and DOE Procurement Regulations, DOE must receive your request for an advance waiver of patent rights within 30 days of the award date.

The Financial Assistance Regulations and the Office of Management and Budget (OMB) Circulars (http://www.whitehouse.gov/OMB/circulars/index.html) will assist you in understanding your requirements as an award recipient. In addition, please take a moment to read the Federal policies on lobbying activities contained in DOE's Lobbying Brochure found at https://www.eere-pmc.energy.gov/Forms.aspx. Organizations that receive financial assistance

from DOE are required to post the Equal Opportunity Poster (DOE F 1600.4, also found at https://www.eere-pmc.energy.gov/Forms.aspx.

On behalf of the Department of Energy, I would like to express a sincere appreciation for your interest and participation in the Hydropower program and look forward to completing negotiations and initiating this worthwhile project.

Questions or comments of an administrative nature concerning this award should be addressed to me at the phone number or e-mail address listed in Block 12 of the NFAA. Questions of a technical nature concerning this award should be addressed to the Project Officer identified in Block 11 of the NFAA.

Sincerely,

Patrick Liles Grants and Agreements Specialist

Enclosures

SPECIAL TERMS AND CONDITIONS JUNE 2008

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Page		
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2.	INTELLECTUAL PROPERTY PROVISIONS AND CONTACT INFORMATION	2
3.	COST SHARE	2
4:	REPORTING REQUIREMENTS	
5.	PAYMENT PROCEDURES	
6.	REBUDGETING AND RECOVERY OF INDIRECT COSTS	4
7.	INSOLVENCY, BANKRUPTCY OR RECEIVERSHIP	4
8.	CONTINUATION APPLICATION AND FUNDING	5
9.	NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) REQUIREMENTS	6
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11.	STATEMENT OF FEDERAL STEWARDSHIPSTATEMENT OF SUBSTANTIAL INVOLVEMENT	6
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17.	NOTICE REGARDING THE PURCHASE OF AMERICAN-MADE EQUIPMENT AND PRODUCTS SENSE OF CONGRESS	

1. CONDITIONAL AVAILABILITY OF FUNDS

- a. Notwithstanding the obligation of funds shown in Block 16(A)(1) of the Notice of Financial Assistance Award (NFAA), the parties hereby agree that the availability of funds to the Awardee for payment of costs incurred by the Awardee is conditioned upon Contracting Officer review and approval of the Awardee's application and completion of negotiations. No funds, therefore, shall be made available to the Awardee for payment, and DOE does not guarantee or assume any obligation to reimburse costs incurred by the Awardee during the negotiation process.
- b. When the parties have completed negotiations of all final special terms and conditions for this award, the Contracting Officer will issue an amendment to this award making available the obligated amount for payment in accordance with the payment provisions contained in the Special Terms and Conditions. The Awardee may then receive payment for allowable costs incurred or recognize costs incurred toward cost share requirements, as applicable, in accordance with the negotiated payment provisions.
- c. Failure by the Awardee to provide acceptable application information, and any supporting documentation requested by the Contracting Officer, or failure to complete negotiations, will be deemed a Noncompliance pursuant to 10 CFR 600.24. Based on such noncompliance, the Contracting Officer may unilaterally terminate or suspend this award and deobligate the amounts obligated. In such case, the Awardee shall not be reimbursed for costs incurred at the Awardee's risk, as described in Paragraph a. above.

2. INTELLECTUAL PROPERTY PROVISIONS AND CONTACT INFORMATION

The intellectual property provisions applicable to this award will be included as Attachment 2 to the amended award upon completion of negotiations. A list of all intellectual property provisions may be found at http://www.gc.doe.gov/financial_assistance_awards.htm.

3. COST SHARE

The following provision will be revised in an amended award, to include the breakdown, by DOE and Awardee shares, of the negotiated budget for the award, and therefore the entries in the table below are subject to change. The negotiated Budget the table will be based on, upon completion of negotiations, will be Attachment 3 of the amended award.

a. Total Estimated Project Cost is the sum of the DOE share and Awardee share of the estimated project costs. The Awardee's cost share must derive from non-Federal sources unless otherwise allowed by law. By accepting federal funds under this award, the Awardee agrees to be responsible for its percentage share of total allowable project costs, on a budget period basis, even if the project is terminated early or is not funded to its completion. This cost is shared as follows:

Budget	Budget	DOE Cost Share		Total
Period	Period	\$ / %	Cost Share	Estimated
No.	Start Date		\$ / %	Costs
1	9/15/2008	4		REDACTED
2	9/15/2009	REDACTED EXEMPTION 4	REDACTED EXEMPTION 4	EXEMPTION 4
Tota	al Project	EVENN 110	EVEN	
100				

- b. If the Awardee is unable to provide cost share of the amount identified in paragraph a. of this article, the Awardee shall notify the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award, indicating whether the project will continue or be phased out. If the project will continue, the notification must describe how replacement cost share will be secured.
- c. The Awardee must maintain records of all project costs that are claimed as cost share, including in-kind costs, as well as records of costs to be paid by DOE. Such records are subject to audit.
- d. Failure to provide the cost share required by this Article may result in the subsequent recovery by DOE of some or all the funds provided under the award.

4. REPORTING REQUIREMENTS

- a. Requirements. The reporting requirements for this award will be identified on a Federal Assistance Reporting Checklist, DOE F 4600.2, and become Attachment 4 to an amended award upon completion of negotiations. (A sample checklist may be found at the following link: http://www.management.energy.gov/documents/DOEF46002PolicyVersion.pdf
 - Failure to comply with the reporting requirements will be considered a material noncompliance with the terms of the award. Noncompliance may result in withholding of future payments, suspension or termination of the current award, and withholding of future awards. A willful failure to perform, a history of failure to perform, or unsatisfactory performance of this and/or other financial assistance awards, may also result in a debarment action to preclude future awards by Federal agencies.
- b. <u>Dissemination of scientific/technical reports</u>. Scientific/technical reports submitted under this award will be disseminated on the Internet via the DOE Information Bridge (<u>www.osti.gov/bridge</u>), unless the report contains patentable material, protected data or SBIR/STTR data. Citations for journal articles produced under the award will appear on the DOE Energy Citations Database (<u>www.osti.gov/energycitations</u>).
- c. <u>Restrictions</u>. Reports submitted to the DOE Information Bridge must not contain any Protected Personal Identifiable Information (PII), limited rights data (proprietary

data), classified information, information subject to export control classification, or other information not subject to release.

5. PAYMENT PROCEDURES

- (1) <u>Method of Payment</u>. Payment will be made by reimbursement through the Department of Treasury's ASAP system.
- (2) Requesting Reimbursement. Requests for reimbursements must be made through the ASAP system. Your requests for reimbursement should coincide with your normal billing pattern, but not more frequently than every two weeks. Each request must be limited to the amount of disbursements made for the federal share of direct project costs and the proportionate share of allowable indirect costs incurred during that billing period.
- (3) Adjusting payment requests for available cash. You must disburse any funds that are available from repayments to and interest earned on a revolving fund, program income, rebates, refunds, contract settlements, audit recoveries, credits, discounts, and interest earned on any of those funds before requesting additional cash payments from DOE.
- (4) <u>Payments</u>. All payments are made by electronic funds transfer to the bank account identified on the ASAP Bank Information Form that you filed or must file with the U.S. Department of Treasury.

6. REBUDGETING AND RECOVERY OF INDIRECT COSTS

- a. If actual allowable indirect costs are less than those budgeted and funded under the award, the Awardee may use the difference to pay additional allowable direct costs during the project period. If at the completion of the award the Government's share of total allowable costs (i.e., direct and indirect), is less than the total costs reimbursed, the Awardee must refund the difference.
- b. Awardees are expected to manage their indirect costs. DOE will not amend an award solely to provide additional funds for changes in indirect cost rates. DOE recognizes that the inability to obtain full reimbursement for indirect costs means the Awardee must absorb the underrecovery. Such underrecovery may be allocated as part of the organization's required cost sharing.

7. INSOLVENCY, BANKRUPTCY OR RECEIVERSHIP

a. The Awardee shall immediately notify the DOE Administrator identified in Block 12 of the Notice of Financial Assistance Award of the occurrence of any of the following events: (i) the Awardee, or the Awardee's parent's filing of a voluntary case seeking liquidation or reorganization under the Bankruptcy Act; (ii) the Awardee's consent to the institution of an involuntary case under the Bankruptcy Act against the Awardee

or its parent; (iii) the filing of any similar proceeding for or against the Awardee or its parent, or its consent to, the dissolution, winding-up or readjustment of its debts, appointment of a receiver, conservator, trustee, or other officer with similar powers over the Awardee, under any other applicable state or federal law; or (iv) the Awardee's insolvency due to its inability to pay its debts generally as they become due.

- b. Such notification shall be in writing and shall: (i) specifically set out the details of the occurrence of an event referenced in paragraph (a); (ii) provide the facts surrounding that event; and (iii) provide the impact such event will have on the project being funded by this award.
- c. Upon the occurrence of any of the four events described in the first paragraph, DOE reserves the right to conduct a review of the award to determine the Awardee's compliance with the required elements of the award (including such items as cost share, progress towards technical project objectives, and submission of required reports). If a DOE review determines that there are significant deficiencies or concerns with the Awardee's performance under the award, DOE reserves the right to impose additional requirements, as needed, including (i) change the Awardee payment method; or (ii) institute payment controls.
- d. Failure of the Awardee to comply with this provision may be considered by the Contracting Officer to be a material noncompliance of this financial assistance award.

8. CONTINUATION APPLICATION AND FUNDING

- a. Continuation Application. A continuation application is a non-competitive application for an additional budget period within a previously approved project period. At least 90 days before the end of each budget period, the Awardee must submit to the DOE Project Officer identified in Block 11 and the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award its continuation application, which includes the following information:
 - 1. A report on the Awardee's progress towards meeting the objectives of the project, including any significant findings, conclusions, or developments, and an estimate of any unobligated balances remaining at the end of the budget period. If the remaining unobligated balance is estimated to exceed 20 percent of the funds available for the budget period, an explanation is required of why the excess funds have not been obligated and how they will be used in the next budget period.
 - 2. A detailed budget and supporting justification for the upcoming budget period if additional funds are requested, a reduction of funds is anticipated, or a budget for the upcoming budget period was not approved at the time of award.

- 3. A description of the Awardee's plans for the conduct of the project during the upcoming budget period, if there are changes from the DOE approved Statement of Project Objectives.
- b. Continuation Funding. Continuation funding is contingent on (1) availability of funds; (2) substantial progress towards meeting the objectives of the award; (3) submittal of required reports; or (4) compliance with the terms and conditions of the award.

9. NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) REQUIREMENTS

The Awardee and any of its subawardees is restricted from taking any action using Federal funds, which would have an adverse affect on the environment or limit the choice of reasonable alternatives prior to DOE providing either a NEPA clearance or a final NEPA decision regarding this project. If the Awardee moves forward with activities that are not authorized by the Contracting Officer for federal funding by the DOE under this award, in advance of negotiations, to include DOE initiating the NEPA process, the Awardee is doing so at risk of deobligation of federal funding and such costs may not be recognized as allowable cost share.

If this award includes construction activities, the Awardee must submit an environmental evaluation report/evaluation notification form addressing NEPA issues prior to DOE initiating the NEPA process.

10. RESOLUTION OF CONFLICTING CONDITIONS

Any apparent inconsistency between Federal statutes and regulations and the terms and conditions contained in this award, as shown in Block 18 of the Notice of Financial Assistance Award (NFAA) must be referred to the DOE Award Administrator identified in Block 12 of the NFAA for guidance.

11. STATEMENT OF FEDERAL STEWARDSHIP

DOE will exercise normal Federal stewardship in overseeing the project activities performed under this award. Stewardship activities include, but are not limited to, conducting site visits; reviewing performance and financial reports; providing technical assistance and/or temporary intervention in unusual circumstances to correct deficiencies which develop during the project; assuring compliance with terms and conditions; and reviewing technical performance after project completion to ensure that the award objectives have been accomplished.

12. STATEMENT OF SUBSTANTIAL INVOLVEMENT

The DOE, in their project management oversight role for the Hydropower Technologies Program, will work closely with Lockheed Martin Corporation, including attending multiple project site visits and planning meetings, in order to assure the optimal overall performance of the project toward meeting DOE's programmatic goals. Also, the proposed scope of the project includes Ocean Thermal Energy Conversion (OTEC), which is a technology of particular importance to DOE. DOE will closely monitor the progress of this technology.

13. SITE VISITS

DOE's authorized representatives have the right to make site visits at reasonable times to review project accomplishments and management control systems and to provide technical assistance, if required. The Awardee must provide, and must require its subawardees to provide, reasonable access to facilities, office space, resources, and assistance for the safety and convenience of the DOE and any other government representatives in the performance of their duties. All site visits and evaluations will be performed in a manner that does not unduly interfere with or delay the work.

14. PUBLICATIONS

- a. The Awardee is encouraged to publish or otherwise make publicly available the results of the work conducted under the award.
- b. An acknowledgment of Federal support and a disclaimer must appear in the publication of any material, whether copyrighted or not, based on or developed under this project, as follows:
- Acknowledgment: "This material is based upon work supported by the Department of Energy [National Nuclear Security Administration] [add name(s) of other agencies, if applicable] under Award Number(s) [enter the award number(s)]."
- Disclaimer: "This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacturer, or otherwise does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government or any agency thereof. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States Government or any agency thereof."

15. FEDERAL, STATE, AND MUNICIPAL REQUIREMENTS

The Awardee must obtain any required permits and comply with applicable federal, state, and municipal laws, codes, and regulations for work performed under this award.

16. LOBBYING RESTRICTIONS

By accepting funds under this award, the Awardee agrees that none of the funds obligated on the award shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

17. NOTICE REGARDING THE PURCHASE OF AMERICAN-MADE EQUIPMENT AND PRODUCTS -- SENSE OF CONGRESS

It is the sense of the Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available under this award should be Americanmade.

PMC 136.1 (GO) (08/27/2008)

U.S. DEPARTMENT OF ENERGY PROJECT MANAGEMENT CENTER



AWARD DISTRIBUTION - FINANCIAL ASSISTANCE (ADMINISTERED via PMC)

Award No. / Amendment No.	DE-FC36-08GO18172 / A000	*		
Awardee Name:	Lockheed Martin Corporation			•
OAFA Specialist:	Pat Liles			
Project Officer:	Curtis Framel	Project Monitor:	Tim Ramsey	
			☐ NON-R&D AWARD	⊠ R&D AWARD
OAFA SPECIALIST Place checkmarks in the applicable blocks to the right and initial/date in the spaces below to indicate that PART I & PART II of this section are complete. Initials:	ACH - Hardcopy SF-270	Reimbursement determined (applies to Amendments s when ASAP applies and for AMENDM ation ID # [enter 7 digits here] ent Process initiated; Recipient informent Process not initiated; waiting for Res No Lift	only) IENTS only when the ASAP account state ation added to "ASAP Enrollment Ma	atus has changed: atrix"
Note:	CONDITION SUBSEQUENT; check ☐ This Award contains a CONDITI ☐ This action lifts the Condition Su ☐ Condition Subsequent Not Appli	ON SUBSEQUENT PROVISION; se bsequent provision	e Special Terms and Conditions	
Specialists are required to assemble (4) sets of the award document and provide to the Contracting Officer for signature.	'AT-RISK' RECIPIENT; check one of This Award contains 'AT-RISK' ☐ This action lifts the At-Risk provi	PROVISION; see Special Terms and ision	Conditions	
(leave 1 set unstapled) An award document includes: ✓ NFAA ✓ all Attachments	Award this action by clicking or Update Cost Share Information File yellow Transmittal letter un Place the following documents Room: (Don't Forget to Date Stamp PMC 136.1 Original Transmittal let (4) original award docu	D. in the Project Management Center is 'Finalize Award' in PMC in the 'Award/Amendments Funding der applicable Tab of corresponding a in a red folder, rubberband to top of b Transmittal Letter(s))	Details' table amendment in <i>blue</i> Award folder <i>lue</i> Award folder and place in 'Distrib	oution Onl y' cart in File
Place checkmarks in the blocks to the right and initial/date in the spaces below to indicate that this section is complete. Initials: Date:	Complete Hard Copy Distribution Mail the following to the Recipi Original Transmittal let (2) original award docu Mail the following to CH-IPLD ((1) original award docu Complete Electronic Distribution Scan PMC 136.1, Award Docu Save/Name .PDF file (note: sa Place PMC 136.1 & original aw to 'home' location in File Room Update 'Record of Distribution'	as follows: ent: iter iments Chicago): only when R&D award (seament as follows: (reference SCAN/UPLC ment; creating .PDF file we to temporary location on U: drive) vard document under corresponding T spreadsheet	ee above) OAD Instructions) Upload .PDF file to PMC	n the <i>blue</i> Award folder
	Pull blue Award folder from 'hom	JNTERSIGNED NFAA:		
DISTRIBUTOR Place checkmarks in the blocks to the right and initial/date in the spaces below to indicate that this section is complete. Initials:	Scan Countersigned NFAA (Ni Save/Name .PDF file (note: sa Under corresponding Tab in b/	FAA only); creating .PDF file ve to temporary location on U: drive) ue Award folder, replace Contracting cable documents returned by Recipier g or placing the documents in the lock o 'home' location in File Room	Officer signed NFAA & other applica nt; destroy Contracting Officer signe	ible documents with the d NFAA & other

U.S. Department of Energy

Memorandum To File

DATE:

September 25, 2008

FROM:

Patrick Liles

SUBJECT:

Conditional Award/Amendment No. DE-FG36-08GO18172/A000

Procurement Request Number:

36-08GO18172.000

Recipient:

Lockheed Martin Corporation

Action: The purpose of this award is to obligate funds in the amount of \$601,537 for Lockheed Martin Corporation's project, DE-FG36-08GO18172, "Advance Composite OTEC Cold Water Pipe Project". This project will be awarded as a condition subsequent project, where funds will be withheld until the final application is fully reviewed. For competitive awards where full or partial applications are still pending, OAFA Management directed Specialists to obligate funds conditionally due to late selections this fiscal year (See Tab 11 for the Justification for Conditional Awards).

The supplemental application documents still outstanding include the following:

- 1. Financial Assistance Pre-Award Information Sheet, PMC 12.1;
- 2. Financial Information, PMC 410.1;
- 3. Statement of Project Objectives, PMC 134.1;
- 4. Name, organization name, organization address, and telephone number for the organization's Designated Responsible Employee for compliance with national policies prohibiting discrimination (10 CFR 1040.5); and
- 5. Confirmation of completion of FedConnect Registration.
- 6. PMC123.1 for recipient and subs
- 7. Commitment Letters
- 8. SF424A for entire project (currently we have only for Budget Period 1)

Upon receipt of the Recipient's final application requirements, the award will be amended to release funds for their use.



PMC 460.2 (09/06)

U.S. DEPARTMENT OF ENERGY - RISK ASSESSMENT

SECTION I - To be completed by the Specialist and forwarded to D&B Coordinator

Name of Requestor:	Anne Elkins	_ Date of Request:	9/24/08
Awardee Name:	Lockheed Martin Corporation	Award No.	DE-FG36-08GO18172
Street Address:	9500 Godwin Drive	Project Title	Advanced Composite OTEC Cold Water Pipe Project
City/State/ZIP:	Manassas, Virginia 20110	DUNS Number:	019710586
Business Contact:	Peter Krone	Phone Number:	703-367-5301
on all For Profit and Non-Prof Governments). This form sh	fit Recipients with awards > \$100K (DOE) (exc ould be used for new awards, renewals and	cluding Educational Institution discontinuations.	
☐ The Recipient is a Small I Scoring Report. The PMC46	Business entity and a D&B BIR report was pull 0.3 "Authorization For Consumer Report Information 0.3 "Authorization For Consumer Report Information 0.3 "Authorization For Consumer Report Information 0.3 "Authorization For Consumer Report Information Info	ed which identified a 4 rating. mation" is properly signed and	Please pull D&B Small Business Risk Account attached.
☐ The Recipient has request	ed reassessment due to changed situation. Date	of initial report was:	. A new PMC460.3 "Authorization no sooner than 6 months after initial D&B report date)
For Consumer Report Inform	Administration of the control of the	pleted by D&B Coordinat	
Type of D&B Report Po		Report Pulled By:	
Business Information R		Name: Date:	
	Report (SBRASR) (PMC460.3 required) ization Verified Initial:	Electronic File Name:	S
Comments:	ization vornice initiat.		
D&B SCORE:	SECTION III - To Be Co	mpleted by FOA/Congres	sional Directed Project Specialist
The Specialist will make a r	isk assessment recommendation based on th	e following criteria.	9
All Recipients:	Recipient is not At Risk if the last digit of the	BIR Score is a 1, 2, or 3,	
Other than Small Business:	Recipient is At Risk if the last digit of the BIF	Score is a 4, or there is no sco	ore and instead is a letter code or
Small Business:	If last digit of the BIR Score is 4, request a SB If the SBRASR score is between 16 and 30, R If the SBRASR score is greater than 30, Recip If there is an unexpected event or material iter required. (i.e. information received in convers	ecipient is <u>At Risk</u> , but may n pient is <u>not At Risk</u> . In discovered which will impac	
	Awardee Ris	k Determination	*
of the Award. Follow-up is	t Risk" provision in the Terms and Conditions required if any Action Items are checked	□ Not At F	Risk (No Further Action Required)
below)			N.
Action Items/Recommen		11 '115 '4 ' G	forward the manufes to the Creciplist
☐ Awardee requires on-goin☐ CP Analysis required on☐ Other:	ng monitoring: Activate D&B Customer Watch additional information received (i.e. Financial S	Statements, SBRASR Reports)	*
Comments:		E 820	
Assessment Completed by	y .	Date:	*
Assessment Combieted of	y: [Enter Name, Title]	energen and	
Coordinator who will und	orm, or the results (including Recipient Nam ate the Tracking Log and activate the D&B (&B Report containing the score, *The Speci	Customer Watch, if applicab	N At-Risk Determination), to the D&B le. Place this form in the Award File, along 0.3 form if CP analysis is required (GO only).

SPECIAL TERMS AND CONDITIONS JULY 2008

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1. RESOLUTION OF CONFLICTING CONDITIONS

Any apparent inconsistency between Federal statutes and regulations and the terms and conditions contained in this award, as shown in Block 18 of the Notice of Financial Assistance Award (NFAA) must be referred to the DOE Award Administrator identified in Block 12 of the NFAA for guidance.

2. PAYMENT PROCEDURES

- a. <u>Method of Payment</u>. Payment will be made by reimbursement through the Department of Treasury's ASAP system.
- b. Requesting Reimbursement. Requests for reimbursements must be made through the ASAP system. Requests for reimbursement should coincide with the Awardee's normal billing pattern, but not more frequently than every two weeks. Each request must be limited to the amount of disbursements made for the federal share of direct project costs and the proportionate share of allowable indirect costs incurred during that billing period.
- c. <u>Adjusting payment requests for available cash</u>. The Awardee must disburse any funds that are available from repayments to and interest earned on a revolving fund, program income, rebates, refunds, contract settlements, audit recoveries, credits, discounts, and interest earned on any of those funds before requesting additional cash payments from DOE.
- d. <u>Payments</u>. All payments are made by electronic funds transfer to the bank account identified on the ASAP Bank Information Form that you filed with the U.S. Department of Treasury.

3. INCREMENTAL FUNDING AND MAXIMUM OBLIGATION

If at any time during the award a budget period is funded on an incremental basis, the maximum obligation of the DOE is limited to the amount shown in Block 16.b.(3) "CUMULATIVE DOE OBLIGATIONS Project Period to Date" on the Notice of Financial Assistance Award. The Awardee is not obligated to continue performance of the project beyond the total amount shown in Block 16.b.(3) and its pro rata share of the project costs, if cost share is required. Subject to the availability of additional funds, DOE anticipates obligating the total amount shown in Block 16.a.(4) for the current budget period.

4. COST SHARE

a. Total Estimated Project Cost is the sum of the DOE share and Awardee share of the estimated project costs. The Awardee's cost share must derive from non-Federal sources unless otherwise allowed by law. By accepting federal funds under this award, the Awardee agrees to be responsible for its percentage share of total allowable project costs, on a budget period basis, even if the project is terminated early or is not funded to its completion. This cost is shared as follows:

Budget Period No.	Budget Period Start Date	DOE Cost Share \$ / %	Awardee Cost Share \$ / %	Total Estimated Costs
1	9/15/2008			RÉDACTED
2	9/15/2009		REDACTED EXEMPTION 4	EXEMPTION 4
Total Project		EXEMPTION 4	EXEMPTION	T

- b. If the Awardee is unable to provide cost share of the amount identified in paragraph a of this article, the Awardee shall notify the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award, indicating whether you will continue or phase out the project. If the project will continue, the notification must describe how replacement cost share will be secured.
- c. The Awardee must maintain records of all project costs that are claimed as cost share, including inkind costs, as well as records of costs to be paid by DOE. Such records are subject to audit.
- d. Failure to provide the cost share required by this Article may result in the subsequent recovery by DOE of some or ail the funds provided under the award.

5. REBUDGETING AND RECOVERY OF INDIRECT COSTS

- a. If actual allowable indirect charges are less than those budgeted and funded under the award, the Awardee may use the difference to pay additional allowable direct costs during the project period. If at the completion of the award DOE's share of total allowable costs (i.e., direct and indirect), is less than the total costs reimbursed, the Awardee must refund the difference.
- b. Awardees are expected to manage their indirect costs. DOE will not amend an award solely to provide additional funds for changes in indirect cost rates (See "Incremental Funding and Maximum Obligation" article). DOE recognizes that the inability to obtain full reimbursement for indirect costs means the Awardee must absorb the underrecovery. Such underrecovery may be allocated as part of the organization's required cost share.
- c. The budget for this award includes indirect and labor costs that incorporate a fringe benefit cost component, but does not include fringe benefits as a directly chargeable item. Therefore, fringe benefit costs shall not be directly charged to this project. This restriction does not apply to subawardees' fringe benefits.
- d. The recipient shall not be reimbursed on this project for any final indirect costs that are in excess of the following specified amounts, unless the recipient receives written approval and/or a notice of revised negotiated Indirect Costs from the Contracting Officer. In addition, the recipient shall neither count costs in excess of the stated specific amount as cost share, nor allocate such costs to other federally sponsored project, unless approved by the Contracting Officer. In accordance with FAR 31.109, the prime recipient will be reimbursed for Indirect Costs of \$303,977, plus or minus 10%. For any amount over or under 10% of \$303,977, the recipient will require written approval and/or a notice of revised negotiated Indirect Costs from the Contracting Officer. This restriction does not apply to subawardees' indirect costs.

6. STATEMENT OF FEDERAL STEWARDSHIP

DOE will exercise normal Federal stewardship in overseeing the project activities performed under this award. Stewardship activities include, but are not limited to, conducting site visits; reviewing performance and financial reports; providing technical assistance and/or temporary intervention in unusual circumstances to correct deficiencies which develop during the project; assuring compliance with terms and conditions; and reviewing technical performance after project completion to ensure that the award objectives have been accomplished.

7. STATEMENT OF SUBSTANTIAL INVOLVEMENT

DOE, in its project management oversight role for the Hydropower Technologies Program, will work closely with Lockheed Martin Corporation, including attending multiple project site visits and planning meetings, in order to assure the optimal overall performance of the project toward meeting DOE's programmatic goals. Also, the proposed scope of the project includes Ocean Thermal Energy Conversion (OTEC), which is a technology of particular importance to DOE. DOE will closely monitor the progress of this technology.

8. SITE VISITS

DOE's authorized representatives have the right to make site visits at reasonable times to review project accomplishments and management control systems and to provide technical assistance, if required. The Awardee must provide, and must require its subawardees to provide, reasonable access to facilities, office space, resources, and assistance for the safety and convenience of the government representatives in the performance of their duties. All site visits and evaluations must be performed in a manner that does not unduly interfere with or delay the work.

9. REPORTING REQUIREMENTS

- a. Requirements. The reporting requirements for this award are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to this award. Failure to comply with these reporting requirements is considered a material noncompliance with the terms of the award. Noncompliance may result in withholding of future payments, suspension or termination of the current award, and withholding of future awards. A willful failure to perform, a history of failure to perform, or unsatisfactory performance of this and/or other financial assistance awards, may also result in a debarment action to preclude future awards by Federal agencies.
- b. <u>Dissemination of scientific/technical reports</u>. Scientific/technical reports submitted under this award will be disseminated on the Internet via the DOE Information Bridge (<u>www.osti.gov/bridge</u>), unless the report contains patentable material, protected data or SBIR/STTR data. Citations for journal articles produced under the award will appear on the DOE Energy Citations Database (<u>www.osti.gov/energycitations</u>).

c. <u>Restrictions</u>. Reports submitted to the DOE Information Bridge must not contain any Protected Personal Identifiable Information (PII), limited rights data (proprietary data), classified information, information subject to export control classification, or other information not subject to release.

10. PUBLICATIONS

- a. The Awardee is encouraged to publish or otherwise make publicly available the results of the work conducted under the award.
- b. An acknowledgment of DOE support and a disclaimer must appear in the publication of any material, whether copyrighted or not, based on or developed under this project, as follows:

 Acknowledgment: "This material is based upon work supported by the Department of Energy [National Nuclear Security Administration] [add name(s) of other agencies, if applicable] under Award Number(s) [enter the award number(s)]."

Disclaimer: "This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacturer, or otherwise does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government or any agency thereof. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States Government or any agency thereof."

11. FEDERAL, STATE, AND MUNICIPAL REQUIREMENTS

The Awardee must obtain any required permits and comply with applicable federal, state, and municipal laws, codes, and regulations for work performed under this award.

12. INTELLECTUAL PROPERTY PROVISIONS AND CONTACT INFORMATION

The intellectual property provisions applicable to this award are provided as an attachment to this award. Questions regarding intellectual property matters should be referred to the DOE Patent Counsel for the Golden Field Office, Julia Moody, who may be reached at 303-275-4867 or Julia.moody@go.doe.gov.

13. CONTINUATION APPLICATION AND FUNDING

a. Continuation Application. A continuation application is a non-competitive application for an additional budget period within a previously approved project period. At least 90 days before the

end of each budget period, the Awardee must submit a continuation application to the DOE Project Officer identified in Block 11 and the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award. This application must include the following information:

- A report on Awardee progress towards meeting the objectives of the project, including any
 significant findings, conclusions, or developments, and an estimate of any unobligated balances
 remaining at the end of the budget period. If the remaining unobligated balance is estimated to
 exceed 20 percent of the funds available for the budget period, an explanation of why the excess
 funds have not been obligated and how they will be used in the next budget period must be
 included.
- 2. A detailed budget and supporting justification for the upcoming budget period if additional funds are requested, a reduction of funds is anticipated, or a budget for the upcoming budget period was not approved at the time of award.
- 3. A description of Awardee plans for the conduct of the project during the upcoming budget period, if there are changes from the DOE approved application.
- b. Continuation Funding. Continuation funding is contingent on (1) availability of funds; (2) A DOE determination that the Awardee has made substantial progress towards meeting the objectives of the approved application; (3) submittal of required reports; and/or (4) compliance with the terms and conditions of the award; and (5) DOE's determination that successful land-based fabrication of the prototype Cold Water Pipe (CWP) milestone has been achieved.

14. NATIONAL SECURITY: CLASSIFIABLE RESULTS ORIGINATING UNDER AN AWARD

- a. This award is intended for unclassified, publicly releasable research. The Awardee will not be granted access to classified information. DOE does not expect that the results of the research project will involve classified information. Under certain circumstances, however, a classification review of information originated under the award may be required. The Department may review research work generated under this award at any time to determine if it requires classification.
- b. Executive Order 12958 (60 Fed. Reg. 19,825 (1995)) states that basic scientific research information not clearly related to the national security shall not be classified. Nevertheless, some information concerning (among other things) scientific, technological, or economic matters relating to national security or cryptology may require classification. If the Awardee originates information during the course of this award that is believed to require classification, the Awardee must promptly:
 - 1. Notify the DOE Project Officer identified in Block 11 and the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award;
 - 2. Submit the information by registered mail directly to the Director, Office of Classification and Information Control, SO-10.2; U.S. Department of Energy; P.O. Box A; Germantown, MD 20875-0963, for classification review.